

# **Library Services and Technology Act**

## **LSTA 2016 Information and Guidelines Federal Grant Subawards**

Developed by  
**Division for Libraries and Technology**

**Wisconsin Department of Public Instruction**



**Wisconsin Department of Public Instruction**

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# Introduction

# 1

The Division for Libraries and Technology (DLT) in the Wisconsin Department of Public Instruction provides the 2016 Information and Guidelines to describe the federal grant subaward program in Wisconsin. Included in this document are the funding categories and priorities for 2016, the requirements and criteria by which grant applications will be rated, the grant review and award process, and forms related to the administration of the program. A supplemental document will describe the DLT Guided and Managed LSTA Projects.

The Library Services and Technology Act (LSTA) was signed into law on September 30, 1996. Fiscal year 1997 was a year of transition, marking the end of the Library Services and Construction Act (LSCA) program and the beginning of the new LSTA program. Known originally as the Library Services Act, the LSTA program had been in existence in various forms and with various priorities since 1956. LSTA was most recently reauthorized in 2010.

The LSTA program is administered at the federal level by the Institute of Museum and Library Services (IMLS). IMLS is the primary source of federal support for the nation's 123,000 libraries and 17,500 museums. The Institute's mission is to create strong libraries and museums that connect people to information and ideas. The Catalog of Federal Domestic Assistance (CFDA) number for LSTA is 45.310. IMLS administers its program according to the Office of Management and Budget's (OMB) based formula *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (effective for awards made after December 26, 2014). For the remainder of this document, the following acronyms will be used: CIPA, DLT, DPI, DPLA, IMLS, LSTA, OMB, and PLDT.

CIPA	Children's Internet Protection Act
DLT	Division for Libraries and Technology
DPI	Department of Public Instruction
DPLA	Digital Public Library of America
IMLS	Institute of Museums and Library Services
LSTA	Library Services and Technology Act
OMB	Office of Management and Budget
PLDT	Public Library Development Team
WiLS	WiLS (formerly Wisconsin Library Services)





# Purposes of LSTA

Through the IMLS Grants to States program, Wisconsin established its purposes based on the federal LSTA priorities and they are described in the [\*LSTA Five Year Plan for Wisconsin, 2013-2017\*](#). Below are the state's primary purposes:

- **Utilization of technology to improve library services:** To ensure that libraries and regional library systems utilize technology to improve services and facilitate access to materials and information resources in Wisconsin libraries and from other sources to benefit all Wisconsin residents.
- **Convenient access and quality library services for all residents:** To ensure convenient and efficient access to a wide range of quality library and information services for all Wisconsin residents, including those who have difficulty using a library because of limited literacy and language skills, educational or socioeconomic barriers, or disabilities.
- **Support the equalization of access to information and lifelong learning resources:** To ensure that enhanced continuing education, training, and development opportunities are available to the current library workforce and library users.

These purposes are accomplished through the activities described within the *LSTA Five Year Plan for Wisconsin, 2013-2017* and implemented by the DLT through statewide initiatives, managed projects and resources, or through a grant application process.

## LSTA Advisory Committee

The LSTA Advisory Committee is comprised of representatives of libraries in Wisconsin appointed by the State Superintendent of Public Instruction to serve staggered three-year terms. The primary responsibilities of the committee are to advise the State Superintendent and the DLT on the development of the long-range plan for LSTA; establishment of the annual grant criteria, priorities, and categories; grant applications and grant awards; and evaluation of the LSTA grant program. Current committee members and contact information are located on the [LSTA Advisory Committee](#) web page.



# Preliminary Budget 2016

## Federal Grant Subawards

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The grant categories and the dollar amounts may be revised on the basis of the total dollars available, number and quality of applications submitted and other factors before final awards are made. The amount of LSTA funds estimated to be available for LSTA projects January through December 2016 is:

### Federal Grant Subawards

#### A. Technology

Digital Creation	\$120,000
Digitization of Library Historical Material	\$40,000
DPLA Participation Support*	\$50,000
Library System Technology Grants	\$350,000
Merging ILS	\$75,000

#### B. Serving Special Populations

Accessibility	\$75,000
Literacy	\$85,000

#### C. Library Improvement

Delivery Services	\$90,000
Combining Public Library Systems	\$25,000

<b>Total Federal Grant Subawards</b>	<b>\$910,000</b>
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*\*Digital Public Library of America*



# Schedule for 2016

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**Note:** In order to provide an adequate timeframe for a new federal reporting system at IMLS, and to accommodate the pattern of delays in federal budgets that have postponed subawards in the past, the 2016 project grant cycle will be comprised of a twelve-month period from April 1, 2016 through March 31, 2017, as indicated below.

April 7, 2015	LSTA Advisory Committee recommends grant Categories / budget for 2015
Early-July, 2015	Information available online for 2016 LSTA federal grant subaward applicants
Mid-July 2015	Application available online for 2016 LSTA federal grant subawards
Late July 2015	Virtual training for LSTA applicants offered
August 2015	Grant application reviewer pool selected
September 4, 2015	Grant applications must be submitted online by 4:30 p.m.; signature pages and attachments from application must be postmarked by September 4, 2015. (Only online applications are acceptable.)
September 2015	Reviewers trained and applications distributed for review
October 7, 2015	Reviewer reports due
November 10, 2015	LSTA Advisory Committee meeting to consider subaward recommendations
Early 2016	Grant award announcements (pending federal appropriations); Application appeals filed (within 30 days of announcements)
April 1, 2016	Projects begin (pending federal appropriations)
October 14, 2016	Six-month LSTA evaluations due (online)
February 28, 2017	Final Budget Revision forms due to PLDT
March 31, 2017	End of 2016 project year
May15, 2017	Final evaluations due (online), all fiscal claims submitted and projects closed



# Subaward Consultation

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Consultation on grant ideas and the application process for federal grant subaward categories is available from the DLT staff upon request. If help is desired in a particular category, contact one of the staff members listed below. If you have any general questions, would like to view a grant from a previous year, or are unsure of the person to call, contact Terrie Howe, LSTA program coordinator.

Grant Category	Contact Person	Phone / Email
General questions	Terrie Howe	(608)266-2413 <a href="mailto:teresa.howe@dpi.wi.gov">teresa.howe@dpi.wi.gov</a>
Digital Creation Digitization of Materials DPLA Participation Support* Library System Block Grants Merging ILS	Ryan Claringbole	(608)266-9534 <a href="mailto:ryan.claringbole@dpi.wi.gov">ryan.claringbole@dpi.wi.gov</a>
Accessibility Literacy	Tessa M Schmidt	(608)267-5077 <a href="mailto:tessa.schmidt@dpi.wi.gov">tessa.schmidt@dpi.wi.gov</a>
Combining Public Library Systems	John DeBacher	(608)267-9225 <a href="mailto:john.debacher@dpi.wi.gov">john.debacher@dpi.wi.gov</a>

\*Digital Public Library of America (DPLA)





# Need to Know

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## Acknowledge (Crediting) IMLS

Federal grant award recipients (library systems and member libraries) *are required* to acknowledge (give credit to) the IMLS as the funding agency. All products, regardless of format or method of distribution and including Internet websites, which are created totally or in part supported by an LSTA grant, should include a logo when possible and the following acknowledgement:

“This publication (product) was supported by (or "in part by") Library Services and Technology Act (LSTA) funds, awarded to the Wisconsin DPI by the Federal Institute of Museum and Library Services.”

In addition, flyers and other announcements of library programs and services should carry an acknowledgement such as the following:

“Supported by (or "in part by") Federal Library Services and Technology Act funds, awarded to the DPI by the Federal Institute of Museum and Library Services.” The [Grantee Communications Kit](#) produced by IMLS provides more acknowledgement suggestions and logos that should not be altered in dimension. See the second title page of this document for an example.

## Activity and Budget Changes

Grant recipients are informed at the time of the grant award if a budget requires alteration. If there are no special conditions detailed in the award, the budget is approved as stated in the original application. Changes to an approved grant budget must obtain DLT approval, and occasionally the approval of IMLS. The fillable word document, [LSTA Budget Revision Request form](#), must be completed and submitted to DLT. The original budget detail is required as well as requested changes with an explanation of the reasons for the revisions. **Final budget revisions for 2016 grants must be submitted to DLT no later than Wednesday, March 1, 2017 for approval.** If you are not sure whether a cost is permitted, you must ask the LSTA Program Coordinator before spending the money. An expense greater than \$5,000 per item requires approval of IMLS before a purchase can be made. Costs will be reviewed for allowable expenses under federal laws and regulations.

According to 2 CFR Part 200.308, substantial revisions of budget and program changes require prior approval from the Federal awarding agency (IMLS). This includes the change of scope or objective of the project, change in key administrator of the application, the disengagement from the project for more than three (3) months, or a 25% reduction in time devoted to the project.

## Allowable Costs and Uses of LSTA Funds

The intent of the LSTA Federal program is to support specific projects that meet at least one of the Wisconsin goals established in the [\*LSTA Five Year Plan for Wisconsin, 2013-2017\*](#).

The goals are:

- **Utilization of technology to improve library services:** To ensure that libraries and regional library systems utilize technology to improve services and facilitate access to materials and information resources in Wisconsin libraries and from other sources to benefit all Wisconsin residents.
- **Convenient access and quality library services for all residents:** To ensure convenient and efficient access to a wide range of quality library and information services for all Wisconsin residents, including those who have difficulty using a library because of limited literacy and language skills, educational or socioeconomic barriers, or disabilities.
- **Support the equalization of access to information and lifelong learning resources:** To ensure that enhanced continuing education, training, and development opportunities are available to the current library workforce and library users.

Grant funds must be expended for the goals and objectives identified in the *LSTA Five-Year State Plan* that was submitted and approved by IMLS. Generally, for an LSTA grant award cost to be allowable, the cost must be directly related and necessary to carry out one or more of the approved LSTA priorities (stated above) (20 USC Chapter 72, Sec. 9141). In addition, it must be (1) *reasonable*, (2) *allocable*, and (3) *not specifically disallowed by the State or local laws or regulations*.

Examples of allowable costs for LSTA awards include, but are not limited to: salaries and wages, fringe benefits, consultant fees, travel costs, equipment, supplies and materials, and indirect costs. For further examples please refer to the OMB's circular that guides federal grant distribution amongst more than 25 agencies. [Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#), under §200.420 Considerations for selected items of cost.

## Computer / Tablet: Internet-accessible Devices

LSTA funds used to purchase Internet-accessible devices (including but not limited to computers, tablets, or smartphones) or to pay for costs associated with accessing the Internet by library patrons and/or staff, must comply with the Children's Internet Protection Act (CIPA), passed in December 2000. The Act mandates the use of Internet filters in libraries. This includes the purchase of

computers for job resource centers or other off-site outreach endeavors. The purchase of Internet filtering software is not a permissible use of LSTA funds under the Wisconsin guidelines. For CIPA compliance information, see the division's CIPA FAQ at [http://pld.dpi.wi.gov/pld\\_cipafaqlite](http://pld.dpi.wi.gov/pld_cipafaqlite).

For your consideration, LSTA funding may be used for projects that include use and/or purchase of Internet-accessible devices that are non-CIPA compliant if matching local funds are used for the purchase of the devices. In these situations, LSTA funds can be used for equipment, training, transportation, or other LSTA allowable costs related to the use of the Internet-accessible devices that are non-CIPA compliant. For example, in a project involving use of iPads that are non-CIPA compliant, the iPads may not be purchased with LSTA funds although security cases, cables, storage cart, or training may be funded through an LSTA grant award. In this example, the grant application would reflect the source of funding for all items purchased as part of the project.

## **Distribution of Funds**

Allocating funds to member libraries or partnering agencies requires greater documentation in the LSTA application and final evaluation. The federal government requires accountability in the distribution of funds. For example, library system staff, as grant administrators, needs to provide information to system member libraries about their responsibility in agreeing to accept funds. IMLS requires that each recipient of funds must describe the impact of the federal funds on its community. Each library or organization that receives and spends LSTA money must report on the use of the LSTA funds and the outcomes of the project.

## **Eligibility for Grant Applications**

The availability of funds for the federal subaward grant program varies annually, dependent upon the allocation from the IMLS. Regional public library systems and public libraries are the primary and intended recipients of subgrant award funds. The Guidelines indicate the eligibility of each grant category.

## **Evaluations: Six-month and Final Grant Evaluations**

Each recipient of subaward funds must complete a six-month and final evaluation online. Examples of both forms will be available to the grant administrators later in the year.

## **LSTA Grant Application 2016**

An LSTA grant application has additional elements to observe and information to provide as a result of a new reporting system that IMLS is implementing. It is important to carefully address requirements in each category. Applicants need to identify planned activities, outcomes desired, and evaluation strategies based on the population that the library intends to serve. The intent of the application changes is also to acquire better comparable data to other State Library programs. With each project there is a story to convey and IMLS would like data to more easily communicate these stories to funding agencies.

### **Marketing / Advocacy (Public Relations)**

LSTA funds may NOT be used for marketing and public relations of general library services—marketing and public relations must be specifically related to the grant project and its outcomes. According to the Code of Federal Regulations (CFR) allowable public relations costs (marketing) might include:

- Costs specifically required by the grant award for a specific LSTA grant project
- Typically, allowable public relations costs are specific expenses involved in a project to inform the public or the press about specific LSTA grant projects
- Public relations costs, such as brochures and bookmarks, charged to an LSTA project to carry out that specific project would be allowable. However, a general message such as “libraries are good places and deserve to exist” would be considered unallowable.

### **Unallowable Costs**

Costs of meetings, conventions, convocations, or other events related to other non-LSTA grant activities of the organization (including the costs of displays, demonstrations, exhibits, meeting rooms, hospitality suites, other special facilities used in connection with special events, and salaries and wages of employees engaged in setting up exhibits and providing briefings).

According to federal guidelines, LSTA funds may only be used for food if it is obtained in conjunction with training to achieve one of the LSTA purposes. In most cases, however, it is best to use local funds for food expenses. Performance costs may be reimbursed with LSTA funds *only* if the performance is primarily for educational purposes and is necessary as part of the outreach effort.

Unallowable items to purchase with federal money includes but is not limited to promotional items and memorabilia including gifts, souvenirs, T-shirts, tattoos, scented stickers, candy, parties, games, coloring books, as well as costs of advertising and public relations designed solely to promote a library or library

system. Incentives and motivators (i.e. rewards, prizes) should be purchased with local money because they lack “educational value” as determined by IMLS.

LSTA funds cannot be used to pay for toys, gifts, T-shirts, or other promotional items unless “...items are more educational and informational in nature than promotional.” It is recommended that libraries partner with businesses and organizations to cover the cost of promotional material.

IMLS’ Grants to States Program funds **may not be used for lobbying or advocacy activities**. The term “lobbying” is generally considered to cover any attempt to influence government decision-making. Note that lobbying also includes activities or the publication or distribution of literature that in any way tends to promote public support or opposition to a pending legislative proposal.

## Sanctions

If a grant recipient materially fails to comply with the terms and conditions of an LSTA award, whether stated in a federal statute, regulation, assurances, application, certification, or notice of grant award, the DLT may take one or more of the following actions, as appropriate in the circumstances:

- Temporarily withhold grant funds pending correction of the deficiency by the recipient
- Disallow use of funds for all or part of the cost of the activity or action not in compliance
- Wholly or partly suspend or terminate grant awards
- Require the immediate return of LSTA funds to the DPI
- Withhold future grant awards
- Suspend or reduce future grant awards
- Pursue other remedies that may be legally available

Failure to properly complete the six-month and the final evaluation and close out a grant in a timely manner may result in sanctions.

**Special Conditions:** The recipient must provide written documentation that shows that any special conditions of the award have been met. Unless specifically waived in writing by LSTA Program Coordinator or Director of PLDT, the failure to meet any of the General and Special Conditions prior to termination of the grant will result in the disallowance of all award expenditures and the return of all federal funds to the DPI.

Also, See “Grant Process and Procedure” section and “Certification” section of the application form.



# Federal Grant Subaward Categories

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The grant categories and dollar amounts may be revised on the basis of the total dollars available, applications submitted, and other factors before final awards are made. Applications are reviewed by category not by category level.

LSTA grants and grant categories are not guaranteed for more than a one-year time period. New applications must be submitted and approved for each year. Competitive federal grant subawards are reviewed by a panel of five (5) independent individuals; not all eligible projects may receive funding.

There are also federal grant subawards that are non-competitive. This means that applications are limited to a specific agency or agencies, with funds to be distributed among the eligible projects. These projects are reviewed by the PLDT staff and the LSTA Advisory Committee.

## Digital Creation

Estimated Total \$120,000

*Competitive, Eligible Applicants*  
*Public Libraries and Public Library Systems*

Level 1	Grant Range	\$1,000-\$5,000	Total Funds Available: \$30,000
Level 2	Grant Range	\$5,000-\$35,000	Total Funds Available: \$90,000

The estimated total expenditure for this category is \$120,000. The estimated total of Level 1 grants is \$30,000; the estimated total of Level 2 grants is \$90,000. All grants will be evaluated based on the requirements described below and the quality of the application.

Public libraries and public library systems can submit collaborative grants with other public libraries and/or public library systems. One library or system must serve as primary grant administrator.

Note: Applicants in the competitive grant categories of digital creation, digitization, accessibility, and literacy may apply for distinct projects across categories or between levels within a category but may not apply for projects that suggest double-dipping across categories or between levels within a category.

### *Purpose*

This category is meant to develop and improve the library's digital resources and services, as well as to foster and facilitate a dynamic learning experience where people come for the unique production of local information in a collaborative learning environment; e.g., Makerspaces.

### *Example scenarios*

- Local artisans use the library's graphic design software and image editing tools to create marketing materials and ownership watermarks to sell their goods online.
- High school students film, edit, and produce video essays for curricular and extracurricular endeavors at the library.
- A stay-at-home parenting group meets in the library's creation area to upload digital photos and design online photo albums and web projects.
- Seniors from the local retirement community use the library's production studio to record personal oral histories.
- A young entrepreneur composes and records music for YouTube productions in the library's production studio.
- Tweens work on STEM skills by making a keyboard out of a banana. Keyboards made out of bananas can be accomplished using (<http://www.makeymakey.com/>)
- Young adults working in an engineering/science mechanics section with LittleBits available to test ([http://littlebits.cc/new\\_home](http://littlebits.cc/new_home))
- Middle school students develop digital Claymation movies with the youth services librarian for a national contest.

### *Requirements*

#### Evidence of Need

- Provide justification of the needs of a specific targeted population(s) who would use the library for creating content in both digital and physical format. Do not rely on assumptions or perceived needs of a targeted population(s); provide evidence from within the population you plan to serve.
- System projects should differentiate between primary and secondary targeted population(s) if member library staff AND the public are to be served by the grant.

#### Outcomes

- Clearly identify how change and impact will be measured at the beginning and the end of the project



## Activities and Evaluation

- Document a maximum of 20 project activities (including mode and format, if applicable) as well as an evaluation strategy for each activity.
- Include information about where an activity took place (locale), who benefitted (beneficiary), and any partner(s) who contributed effort to the activity.

Activities and evaluation strategies must identify:

- Involvement of member libraries (for grants submitted by systems)
- Collaboration with community partners
- Project sustainability/durability (short and long term)
- Participation by grant administrator in online group forum with other accessibility grant administrators, led by DLT Technology Consultant
- Submission of media files (such as digital images, videos, URLs) as part of six-month and final evaluation to show grant progress
- Training for library staff (project grants only)
- A strategic marketing plan (in and outside the library community) that includes people who do not use print, read well, or speak English (project grants only)
- Plans to showcase completed grant to Wisconsin public library community through presentation at statewide conference, webinar, or published online resource (project grants only)

## Budget and Budget Narrative

- Conform with LSTA allowable costs
- Show consistent and accurate computations

## Abstract

- The abstract portion of the grant application must directly address the purpose of the digital creation category (see above).

## Digital Public Library of America (DPLA) Participation Support

Estimated Total

\$50,000

*Non-Competitive, Eligible Applicant  
Outagamie Waupaca Library System*

### *Purpose*

Funds will be used to support 50% of the 1.25 FTE staff positions necessary to meet the minimum requirements of participation in the DPLA. These positions, housed at WiLS, will be responsible for providing consulting and training to new content contributors, conducting outreach and building community engagement, coordinating metadata compliance, facilitating communication among partners, managing policy and procedures documents and acting as liaison to DPLA staff.

### *Background*

The DPLA is a groundbreaking effort to establish a “public commons” by bringing together digital cultural heritage resources from across the country. This content comes from a national network of Service Hubs, which are state-based or regional programs that aggregate metadata from multiple institutions, and Content Hubs, which are single large digital collections from leading collecting institutions such as the Smithsonian, Harvard and the National Archives. DPLA’s website, <http://dp.la>, currently includes more than eight million digitized cultural heritage resources, and millions more are expected to be added in the next two years.

The Recollection Wisconsin Service Hub will provide communities in all parts of the state with the opportunity to bring their unique collections to a national stage. By partnering with the DPLA, Wisconsin’s libraries and cultural heritage institutions will join a national network that is actively and collaboratively shaping the landscape of open access to our nation’s cultural heritage.

## Digitization of Library Historical Material

Estimated Total

\$40,000

*Competitive, Eligible Applicants*

*Public Libraries and Public Library Systems*

Level 1	Grant range	\$1,000 - \$5,000	Total Funds Available \$10,000
Level 2	Grant range	\$5,000 - \$15,000	Total Funds Available \$30,000

The estimated total expenditure for this category is \$40,000. The estimated total of Level 1 grants is \$10,000; the estimated total of Level 2 grants is \$30,000. All grants will be evaluated based on the requirements described below and the quality of the application.

Public libraries and public library systems can submit collaborative grants with other public libraries and/or systems. One library/system must serve as primary grant administrator.

Note: Applicants in the competitive grant categories of digital creation, digitization, accessibility, and literacy may apply for distinct projects across categories or between levels within a category but may not apply for projects that suggest double-dipping across categories or between levels within a category.

### *Purpose*

This category will widen the scope of online access to historical materials found in Wisconsin libraries while maintaining high standards for project quality, accessibility, interoperability, and sustainability. This category will allow public libraries to digitize materials that are unique or of local interest. Libraries may manage their own digital repositories, or develop partnerships with organizations that can provide hosting and technical expertise. Materials must be related to the history, culture, environment, government, or economy of the state of Wisconsin.

Possible uses for funds in this category include:

- Basic scanner
- Scanning software
- Image editing software
- Collection management software
- OCR (optical character recognition) software
- Outsourcing a project to a vendor for scanning
- Time to scan and provide metadata development

- Licensing fee to harvest collection for Recollection Wisconsin (formerly Wisconsin Heritage Online)
- Storage costs for access and preservation of digital files (i.e. local area network, cloud, external hard drives, archival-quality DVDs)

### *Requirements*

#### Evidence of Need

- Provide justification of the needs of a specific targeted population(s) who would use the library for digitizing historical material. Do not rely on assumptions or perceived needs of a targeted population(s); provide evidence from within the population you plan to serve.
- System projects should differentiate between primary and secondary targeted population(s) if member library staff AND the public are to be served by the grant.

#### Outcomes

- Clearly identify how change and impact will be measured at the beginning and the end of the project

#### Activities and Evaluation

- Document a maximum of 20 project activities (including mode and format, if applicable) as well as an evaluation strategy for each activity.
- Include information about where an activity took place (locale), who benefitted (beneficiary), and any partner(s) who contributed effort to the activity.

#### Activities and evaluation strategies must identify:

- Involvement of member libraries (for grants submitted by systems)
- Collaboration with community partners
- Project sustainability/durability (short and long term)
- Participation by grant administrator in online group forum with other accessibility grant administrators, led by DLT Technology Consultant
- Submission of media files (such as digital images, videos, URLs) as part of six-month and final evaluation to show grant progress
- Training for library staff (project grants only)
- A strategic marketing plan (in and outside the library community) that includes people who do not use print, read well, or speak English (project grants only)

- Plans to showcase completed grant to Wisconsin public library community through presentation at statewide conference, webinar, or published online resource (project grants only)

#### Budget and Budget Narrative

- Conform with LSTA allowable costs
- Show consistent and accurate computations

#### Abstract

- The abstract portion of the grant application must directly address the purpose of the digitization of library historical material category (see above)

#### *General requirements*

- A project must contain unique local resources not available elsewhere online for free.
- A project must be completed within the grant award period (April 1-March 31).
- Applicants are encouraged to attend an information session to develop reliable project cost estimates, select materials, research copyright, develop metadata, and publicize project.
- Applicants must provide cost estimates and specify type, size, and approximate amount of material to be digitized.
- Completed projects must have the ability to be harvested by Recollection Wisconsin in order to provide wider accessibility to online materials. Budgets must include a collection harvesting fee.
- Completed projects must appropriately acknowledge IMLS as the funding source on websites, publications and activities supported with the use of LSTA grant money. This acknowledgment is located in this publication's "Need to Know" chapter.
- The grant administrator must participate in an online group forum with other digitization grant administrators, led by DLT Technology Consultant
- Submit media files (such as digital images, videos, URLs) as part of 6 month and final evaluation to show grant progress
- Showcase completed grant to Wisconsin public library community through presentation at statewide conference, webinar, or published online resource

#### *Requirements to provide public access*

- A project must be created using an OAI-compliant platform (Open Archives Initiative), such as CONTENTdm, ResCarta, or Omeka (with plug-in), so that metadata can be harvested by aggregators such as Recollection Wisconsin or, in the future, the [DPLA](#).

- Content may be hosted locally or access may be provided in partnership with another institution (i.e. CONTENTdm at [Milwaukee Public Library](#) through [Recollection Wisconsin](#)). Digital collections must be made freely available online. Authentication or location restrictions (such as viewing in library only due to copyright restrictions) are not permitted.

### *Preservation*

Applicants must address long-term storage of digital assets and create regular back-up procedures of materials made available with grant support to ensure sustained access.

- Selection and copyright requirements:
- Collections must have broad appeal
- May have research value and/or are of particular interest to key audiences
- Are organized around a specific subject, theme or creator
- Applicants must address copyright status of selected collections to ensure they may be included and displayed

### *Scanning and image processing requirements*

Applications should state that scanning and image processing, whether by the applicant or a vendor, will follow a set of established guidelines, such as:

- [Recollection Collection: Contributor Guidelines](#)
- [General Guidelines for Digitization](#), University of Wisconsin Digital Collections Center
- Locally developed written standards consistent with widely recognized digital imaging standards such as those developed by the [Federal Agencies Digitization Guidelines Initiative](#)

### *Metadata requirements*

Applicants must be capable of creating metadata that will follow a set of established guidelines based on a standard metadata schema such as Dublin Core.

Minimum required metadata fields for each item in all collections are ([Recollection Wisconsin](#) required fields):

- Title
- Subject
- DCMI Type (text, still image, etc.)
- Format (Internet media type, such as image/jpeg, image/tiff, etc.)
- File name
- Rights statement (copyright)

- Name of submitting institution
- Date digitized

*Marketing/visibility requirements in addition to acknowledgement of IMLS*

- Digital collections and/or items should have records in the institution's online public access catalog (OPAC).
- Digital collections and/or items are strongly encouraged to link to/from the library's web page.
- Applications should include a plan for marketing digital collections to the community.
- Applications should include a plan for addressing staff training

*Proposed training requirements*

Applications are strongly encouraged to include staff training to cover materials selection, copyright, scanning, file management, and metadata.

## Library System Technology

Estimated Total \$350,000

*Non-Competitive, Eligible Applicants*  
*Public library systems*

*Purpose*

To support and improve access to equipment and services to library system technology projects

This grant will fund approved projects through the grant year 2016 (**April 1, 2016-March 31, 2017**). Funds will be distributed to public library systems using a formula with a base allocation of \$2,500 per system and the remaining funds allocated on the basis of system area (33.3%) and system population (66.7%). The funding allocation to public library systems for this category is as follows:

Arrowhead	\$9,600	Northern Waters	\$23,700
Eastern Shores	\$11,100	Outagamie Waupaca	\$13,800
Indianhead	\$34,000	South Central	\$42,900

Kenosha	\$9,000	Southwest	\$14,100
Lakeshores	\$14,400	Waukesha	\$22,400
Manitowoc	\$8,400	Winding Rivers	\$22,600
Mid-Wisconsin	\$12,700	Winnefox	\$19,100
Milwaukee	\$36,900	Wisconsin Valley	\$26,900
Nicolet	\$28,400		

The following are some possible uses of the funds in this category.

- Data lines or increasing bandwidth on the BadgerNet network
- Enhancing shared integrated library systems
- New system-wide digital resources
- Adaptive devices and information and training in using those devices
- Staff and patron training related to using technology-dependent services and programs
- Technology consulting and troubleshooting services to member libraries
- Expanding or improving access to system digitization projects
- Virtual meeting software and equipment
- Online databases (eligible only if they do not replicate or substantially overlap content available via BadgerLink)
- Web development or maintenance
- System WAN upgrades or library LAN upgrades
- Other innovative uses of technology

### *Requirements*

#### Evidence of Need

- Provide justification of the needs of a specific targeted population(s). Do not rely on assumptions or perceived needs of a targeted population(s); provide evidence from within the population you plan to serve.
- System projects should differentiate between primary and secondary targeted population(s) if member library staff AND the public are to be served by the grant.

#### Outcomes

- Clearly identify how change and impact will be measured at the beginning and the end of the project



## Activities and Evaluation

- Document a maximum of 20 project activities (including mode and format, if applicable) as well as an evaluation strategy for each activity.
- Include information about where an activity took place (locale), who benefitted (beneficiary), and any partner(s) who contributed effort to the activity.

Activities and evaluation strategies must identify:

- Involvement of member libraries (for grants submitted by systems)
- Collaboration with community partners
- Project sustainability/durability (short and long term)
- Participation by grant administrator in online group forum with other accessibility grant administrators, led by DLT Technology Consultant
- Submission of media files (such as digital images, videos, URLs) as part of six-month and final evaluation to show grant progress
- Training for library staff (project grants only)
- A strategic marketing plan (in and outside the library community) that includes people who do not use print, read well, or speak English (project grants only)
- Plans to showcase completed grant to Wisconsin public library community through presentation at statewide conference, webinar, or published online resource (project grants only)

## Budget and Budget Narrative

- Conform with LSTA allowable costs
- Show consistent and accurate computations

## Abstract

- The abstract portion of the grant application must directly address the purpose of the library system technology projects category (see above)

## *General requirements*

- Projects must be consistent with the [Wisconsin Library Technology Strategic Plan](#)
- Projects must be consistent with your system technology strategic plan
- Systems must address how and to what extent they involved their member libraries in developing the system's application

- Projected funding must be specific and include, if applicable, the distribution of noncompetitive grant funds, competitive grant funds, and local funds.

Since this grant is awarded annually, application content must be original and reflect this year's plans.

## **Merging Integrated Library Systems (ILS)**

Estimated Total \$75,000

*Non-Competitive, Eligible Applicants*  
*Public library systems*

An application must include two or more public library systems.

Only one grant application is to be submitted by a library system representing all the shared integrated systems to be merged. The applicant system will be designated as the fiscal agent.

Before the DPI issues the subaward to the applicant agency, the DPI must have in its possession a copy of the resolution between the library systems approved by each system board establishing their intention to merge the ILS, and letters of intent from member libraries.

Maximum grant amount per public library system:

Four or more counties and twelve or more outlets*	up to \$25,000
Fewer than four counties but at least 15 outlets	up to \$12,500
Fewer than four counties and 15 outlets	up to \$7,500

\*An outlet is defined as a library main location or branch

### *Use of funds*

Grant funds may be used for hosted services, software, data conversion or preparation, membership fees, and system or network upgrades specifically needed to support the merging of the shared systems. The final twenty percent of grant funds will be withheld until the new merged system is implemented and operational.

### *Grant priority*

First priority: Grants to enable the merger of existing shared integrated systems coinciding with the merger of two regional library systems under Wis. Stats 43.15(4)(a). Within this priority, grants that serve the largest number of residents in the merged system will receive priority.

Second priority: Grants to enable the shared ILSs of two or more adjacent regional library systems to create a new shared integrated system over a larger region. Within this priority, grants that serve the largest number of libraries in the new system will receive priority. Delivery of materials between the new and shared integrated library system must be addressed in the proposal, but grant funds may not be used for delivery.

# Serving Special Populations

## Accessibility

Estimated Total

\$75,000

*Competitive, Eligible Applicants*  
*Public Library Systems & Public Libraries*

Level 0	Planning Grant Range	\$500-\$2000	Total Funds Available: \$5,000
Level 1	Project Grant Range	\$2,000 -\$10,000	Total Funds Available: \$20,000
Level 2	Project Grant Range	\$10,000 - \$20,000	Total Funds Available: \$50,000

The estimated total for this category is \$75,000. The estimated total expenditure of Level 0 grants is \$5000; the estimated total expenditure of Level 1 grants is \$20,000; the estimated total expenditure of Level 2 grants is \$50,000. All grants will be evaluated based on the requirements described below and the quality of the application.

Public libraries and public library systems can submit collaborative grants with other public libraries and/or public library systems. One library or system must serve as primary grant administrator.

Applicants can apply for a planning grant OR a project grant in the accessibility category. All applications will be evaluated based on the requirements described below and the quality of the application.

Note: Applicants in the grant categories of digital creation, digitization, accessibility, and literacy may apply for distinct projects across categories or between levels within a category but may not apply for projects that suggest double-dipping across categories or between levels within a category.

### *Purpose*

Accessibility grants support the quality of and access to library and information services to people for whom using the library is difficult, limited, or minimized. Library and information services can be considered in terms of library spaces, communications, programming, outreach, and resources. Quality of and access to can be considered in terms of accommodations, assistive technology or techniques, design, inclusive practices, and planning.

Defining and identifying special populations depends on each library community. Special populations include, but are not limited to: English Language Learners; people who are homeless and/or live in poverty; people who are displaced or live in residential care, foster care, detention, or treatment facilities; people in underserved areas or with diverse backgrounds; people with disabilities; and people with limited literacy or information skills.

Level 0 planning grant funds may be used to investigate the quality of and access to library and information services to special populations. Planning grants support efforts to define and identify a community's special population(s) and their (potential) accessibility issues. Planning funds may be used for site visits, consulting fees, professional development, input gathering, and similar focused efforts.

Level 1 and 2 project grant funds may be used to improve library and information services to special populations through library spaces, communications, programming and resources. Project funds may be used to fund translation services, materials in alternate formats, outreach transportation, equipment, or technologies that improve quality of and access to library and information services to special populations.

### *Requirements*

#### Evidence of Need

- Provide justification of the needs of a specific targeted population(s) for whom using the library is difficult, limited, or minimized. Do not rely on assumptions or perceived needs of a targeted population(s); provide evidence from within the population you plan to serve.
- System projects should differentiate between primary and secondary targeted population(s) if member library staff AND the public are to be served by the grant.
- Communicate relevance to local/state planning documents
- Be consistent with PLDT online resource *Serving Special Populations* ([http://pld.dpi.wi.gov/pld\\_ssp](http://pld.dpi.wi.gov/pld_ssp))
- Be consistent with PLDT 2010 *Wisconsin Public Library Standards* ([http://pld.dpi.wi.gov/pld\\_standard](http://pld.dpi.wi.gov/pld_standard))

#### Outcomes

- Clearly identify how change and impact will be measured at the beginning and the end of the project.

## Activities and Evaluation

- Document a maximum of 20 project activities (including mode and format, if applicable) as well as an evaluation strategy for each activity.
- Include information about where an activity took place (locale), who benefitted (beneficiary), and any partner(s) who contributed effort to the activity.

Activities and evaluation strategies must identify:

- Involvement of member libraries (for grants submitted by systems)
- Collaboration with community partners
- Project sustainability/durability (short and long term)
- Participation by grant administrator in online group forum with other accessibility grant administrators, led by DLT Youth and Special Services Consultant
- Submission of media files (such as digital images, videos, URLs) as part of six-month and final evaluation to show grant progress
- Training for library staff (project grants only)
- A strategic marketing plan (in and outside the library community) that includes people who do not use print, read well, or speak English (project grants only)
- Plans to showcase completed grant to Wisconsin public library community through presentation at statewide conference, webinar, or published online resource (project grants only)

## Budget and Budget Narrative

- Conform with LSTA allowable costs
- Show consistent and accurate computations

## Abstract

- The abstract portion of the grant application must directly address the purpose of the accessibility category (see above).

### *Example accessibility planning grants (Level 0)*

- Investigate needs of seniors transitioning to or living in residential care facilities by meeting with agencies that serve this population, conducting facility visits, and attending professional development workshops or conferences related to this population or accessibility issue.
- Investigate the role of the library in relation to mental illness by surveying local demographics, consulting with experts, reviewing library policies and procedures, assessing staff awareness and need for training.

- Investigate (potential) accessibility issues related to the library and information needs of populations of diverse geographic, cultural, and socioeconomic backgrounds(e.g. new immigrants) by assessing potential barriers to service, evaluating communication strategies, and increasing staff awareness through professional development.

*Example accessibility project grants (Levels 1 and 2)*

- Improve inclusion of gay, lesbian, bisexual, transgender, and questioning populations in library and information services through marketing efforts, collection development, staff and patron awareness programming, and targeted programming.
- Improve access to library and information services to people living below the poverty line through outreach efforts, transportation arrangements, revision of library policies, e.g. getting a card or paying for fines, and serving as site for free and reduced meal opportunities; e.g. summer snack pick up location
- Improve access to library and information services to people with vision, hearing, and learning disabilities by redesigning library website, creating online captioned video tutorials for library FAQs, purchasing new ADA compliant library signage, and developing a communication strategy to promote multiple ways to interact with the library.

## Literacy

Estimated Total \$85,000

*Competitive,Eligible Applicants  
Public Library Systems & Public Libraries*

Level 0	Planning Grant Range	\$500-\$2,000	Total Funds Available: \$9,000
Level 1	Project Grant Range	\$2,000 - \$10,000	Total Funds Available: \$20,000
Level 2	Project Grant Range	\$10,000 - \$20,000	Total Funds Available: \$56,000

The estimated total expenditure of Level 0 grants is \$9,000; the estimated total expenditure of Level 1 grants is \$20,000; the estimated total expenditure of Level 2 grants is \$56,000. All grants will be evaluated based on the requirements described below and the quality of the application.

Public libraries and public library systems can submit collaborative grants with other public libraries and/or public library systems. One library or system must serve as primary grant administrator.

Applicants can apply for a planning grant OR a project grant in the literacy category. All applications will be evaluated based on the requirements described below and the quality of the application.

Note: Applicants in the grant categories of digital creation, digitization, accessibility, and literacy may apply for distinct projects across categories or between levels within a category but may not apply for projects that suggest double-dipping across categories or between levels within a category.

### *Purpose*

Literacy grants support the quality of and access to literacy services for people for whom using a library is difficult, limited, or minimized. Literacy services can be considered in terms of library collections, programs, drop-in activities, and literacy offerings which specifically encourage individuals to read or build literacy skills in a focused way. Quality of and access to literacy skills can be considered in terms of accommodations, design, format, inclusive practices, planning, and technology.

Defining and identifying special populations depends on each library community. Special populations include, but are not limited to: English Language Learners; people who are homeless and/or live in poverty; people who are displaced or live in residential care, foster care, detention, or treatment facilities; people in underserved areas or with diverse backgrounds; people with disabilities; and people with limited literacy or information skills.

Level 0 planning grant funds may be used investigate the quality of and access to literacy services to special populations. Planning grants support efforts to define and identify a community's special population(s) and their (potential) literacy needs. Planning funds may be used for site visits, consulting fees, professional development, input gathering, and similar focused efforts.

Level 1 and 2 project grant funds may be used to implement or improve literacy services to special populations through library spaces, communications, programming, outreach, and resources. Project funds may be used to fund translation services, materials in alternate formats, outreach transportation, equipment, or technologies that support literacy services to special populations.



## Requirements

### Evidence of Need

- Provide justification of the needs of a specific targeted population(s) for whom using the library is difficult, limited, or minimized. Do not rely on assumptions or perceived needs of targeted population(s); provide evidence from within the population you plan to serve.
- System projects should differentiate between primary and secondary targeted population(s) if member library staff AND the public are to be served by the grant.
- Communicate relevance to local/state planning documents
- Be consistent with PLDT online resource *Serving Special Populations* ([http://pld.dpi.wi.gov/pld\\_ssp](http://pld.dpi.wi.gov/pld_ssp))
- Be consistent with PLDT 2010 *Wisconsin Public Library Standards* ([http://pld.dpi.wi.gov/pld\\_standard](http://pld.dpi.wi.gov/pld_standard))

### Outcomes

- Clearly identify how change and impact will be measured at the beginning and the end of the project.

### Activities and Evaluation

- Document a maximum of 20 project activities (including mode and format, if applicable) as well as an evaluation strategy for each activity.
- Include information about where an activity took place (locale), who benefitted (beneficiary), and any partner(s) who contributed effort to the activity.
- Activities and evaluation strategies must identify:
  - Involvement of member libraries (for grants submitted by systems)
  - Collaboration with community partners
  - Project sustainability/durability (short and long term)
  - Participation by grant administrator in online group forum with other accessibility grant administrators, led by DLT Youth and Special Services Consultant
  - Submission of media files (such as digital images, videos, URLs) as part of six-month and final evaluation to show grant progress
  - Training for library staff (project grants only)
  - A strategic marketing plan (in and outside the library community) that includes people who do not use print, read well, or speak English (project grants only)

- Plans to showcase completed grant to Wisconsin public library community through presentation at statewide conference, webinar, or published online resource (project grants only)

#### Budget and Budget Narrative

- Conform with LSTA allowable costs
- Show consistent and accurate computations

#### Abstract

- The abstract portion of the grant application must directly address the purpose of the literacy category (see above).

#### *Example literacy planning grants (Level 0)*

- Investigate literacy needs of geographic or cultural group in community (e.g. migrant workers) by meeting with agencies that serve this population, conducting focus groups, and attending professional development workshops or conferences related to this population or literacy need.
- Investigate the ways in which literacy needs of students with disabilities, including learning disabilities, can be supported by the library through meetings with school district personnel, consultation with disability experts, and formal evaluation of library space and services.
- Investigate the literacy needs of youth with a parent in jail or in prison by conducting site visits to resource centers or detention facilities, meeting with incarceration officials and family advocates, surveying local demographics, and interviewing families.

#### *Example literacy project grants (Levels 1 and 2)*

- Implement specific literacy service (e.g. health literacy services) targeting a specific population(e.g. English Language Learners).
- Improve outreach services at a location other than the library (e.g. YMCA or Workforce Development office) in collaboration with agencies already working with targeted children or adults, such as a regional literacy provider.
- Implement outreach services and programming features that support the literacy needs of underserved rural and urban communities. For example, a family literacy project might emphasize off-site library programming while an adult literacy project might involve transportation to and from the library or library material delivery options.

# Library Improvement

## Combining Public Library Systems

Estimated Total \$25,000

*Non-competitive, Eligible Applicants  
Public Library Systems*

### *Purpose*

To provide more robust and efficient library services in a time of diminished state and local funding by supporting the merger of two (or more) smaller public library systems or two (or more) systems that already have cooperative relationships and similar service areas.

### *Description*

The DPI would like to facilitate the process when possible by providing support for the preliminary and follow-up costs. This funding would be used to encourage merging of library systems and would fund grants as necessary up to the allocated amounts.

### *Funding*

Both system boards must demonstrate, through resolution, a willingness to investigate a merger with another system, and designate one as a fiscal agent. No more than \$2500 would be available for Stage 1 grants to offset related preliminary costs (studies, meetings, facilitators and consultants, development of plan for resulting system). Then, once both systems and all participating counties have formally approved the merger plan, a Stage 2 grant may be applied for (typically this will be in a new funding year). The Stage 2 funds, up to \$10,000, can be requested to reimburse actual costs related to the merger (such as legal costs related to incorporation, contract revisions, printing, and lease negotiations).

### *History*

In 2005 Act 420, a simpler process of merging two library systems was integrated into Chapter 43. However, the process is still not without costs and uncertainty.

### *Stage 1*

\$2,500 - Can apply for preliminary planning and study costs up to \$4,000 associated with the merging of two or more public library systems. Both system boards must formally approve opening negotiations for a merger.

### *Stage 2*

Up to \$10,000 - After stage one grant or after a merger has been conducted; the new system board may apply for the Stage 2 grant.

### *County Integration Grant*

Up to \$5,000 - If a county withdraws from one system to join a **single-county federated library system**, then a grant of up to \$5,000 may be awarded to offset costs of converting a single-county federated library system to a multi-county federated library system. No grants in this category will be made available for a single county to withdraw from a county and join another system.

## **Delivery Services**

Estimated Total	\$90,000
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### *Non-Competitive, Eligible Applicants*

*South Central Library System (SCLS); Northern Waters Library Service (NWLS)*

### *Purpose*

Funds will be used to provide a subsidy to Northern Waters Library Service for the costs of in-system delivery and inter-system delivery. Funds also will be used to provide a subsidy for public library system services for the statewide delivery backbone network operated by the South Central Library System.

### *Background*

LSTA funding provides a subsidy to the backbone network which is run by the South Central Library System. This cost was figured into the cost-sharing proposal adopted by public library systems. Public library system costs for the backbone service are projected to be \$327,662 for 2016 prior to applying the LSTA subsidy. Charges to public library systems are calculated using a base cost of \$8,000, a volume factor (based on sample volumes), and a public library system aid factor. Through South Central Library System, four public library systems have 5-day-a-week delivery on the backbone and the other thirteen systems have 4-day-a-week service. The Delivery Service Advisory Committee

worked with the System and Resource Library Administrators of Wisconsin (SRLAAW) to determine if changes needed to be made to these factors, but no changes were recommended in 2011. The University of Wisconsin has negotiated a multi-year contract directly with South Central Library Service.

Northern Waters Library System funding subsidizes the cost of in-system delivery and intersystem delivery. South Central Library System contracts with WALTCO to deliver materials to and from Ashland and this cost is now included in the total delivery service cost.



# Subaward Process and Procedures

# 8

## A. Application Process and Procedures

Grant application forms and the LSTA Information and Guidelines for Wisconsin 2016 will be found on the PLDT website listed under LSTA ([http://pld.dpi.wi.gov/pld\\_lsta](http://pld.dpi.wi.gov/pld_lsta)). Eligible organizations are listed with each grant category. Some categories (noncompetitive) are restricted to certain libraries or library systems. Applicants must use the LSTA online application form that will be available on the PLDT website.

## B. Review Process and Procedures

### Competitive Federal Subawards

- Grant reviewers are appointed by DLT staff and provided training in grant review procedures (August–September).
- Division staff reviews competitive applications to ensure compliance with selected application requirements (September).
- Grant reviewers, working independently, complete a criteria rating form for each of the competitive applications. (September-October)
- Division staff consolidates rating points from individual grant reviewers and emails this information, grant applications and other information to the LSTA Advisory Committee (October).
- Division staff report to the LSTA Advisory Committee. The LSTA Advisory Committee reviews and discusses competitive grant applications and reviewer ratings and makes recommendations to the DLT (November).
- Division staff reviews the LSTA Advisory Committee recommendations and contact grant applicants when necessary (November).
- Division staff prepares grant award information for review by the state superintendent (December).

### Noncompetitive Federal Subawards

- DLT staff and LSTA Advisory Committee members review all non-competitive grant applications to ensure compliance with application requirements (September-October).
- Division staff report to the LSTA Advisory Committee. The LSTA Advisory Committee reviews and discusses non-competitive grant applications and makes recommendations to the DLT (November).

- Division staff reviews the LSTA Advisory Committee recommendations and contact applicants when necessary (November).
- Division staff prepares grant award information for review by the state superintendent (December).

## **C. Award Process and Procedures**

The state superintendent reviews recommendations from the LSTA Advisory Committee and staff. He then makes a final determination in regard to all grant applications, both noncompetitive and competitive (December). The state superintendent notifies all applicants, LSTA Advisory Committee members, and grant reviewers of final grant decisions (Early in New Year, dependent upon the appropriation of funds by the U.S. Congress.)

In order to be considered eligible recipients of LSTA funds, public library systems must be in compliance with statutory requirements, and public libraries must be in compliance with system membership requirements. LSTA funds will not be awarded if these requirements are not met. Temporary failure to have a properly certified library director will not disqualify a library from receiving an LSTA grant award so long as the library board is actively involved in the recruitment process for a new director who meets the requirements for certification in Wisconsin.

## **D. Appeal Process and Procedures for Unfunded LSTA Grant Applications**

Applicants will have an opportunity to appeal decisions. The applicant shall request the hearing within 30 days of notification from of the DPI. Within 30 days after it receives a request, the DPI shall hold a hearing on the record and shall review its action.

No later than 10 days after the hearing, the DPI shall issue its written ruling, including findings of fact and reasons for the ruling.

If the DPI determines that its action was contrary to state or federal statutes/regulations that govern the LSTA program, the DPI shall rescind its action.

## **E. Administration of Grants**

Organizations administering grants have the following responsibilities:

- Administer the project within the organization.
- The agency applying for and administering a grant is responsible for receiving and disbursing funds, maintaining official accounts, and carrying



out the purposes of the project. LSTA funds will be deposited into the fiscal administrative agency of the library or library system institutions. Library or library system agencies must implement the project as outlined in the proposal, or request (in writing) a change in the project using a [DPI's Budget Revision form](#) (PI 2443). Requests for changes must be approved in writing by the DLT LSTA coordinator. Any change to be made in the course of project implementation requiring transfer of funds between lines or a change in program focus must be requested in writing and approved by the DLT prior to making the change. All revisions for 2016 projects must be made before February 28, 2017. Expend funds only as allowed by applicable federal laws and regulations, including 2 CFR Part 200 and 2 CFR Chapter XXXI, Part 3187.

- Use proper accounting procedures.
  - ⊖ A grant recipient expending \$750,000 or more in a year in federal awards shall have a single or program specific audit conducted for that year in accordance with the provisions of Office of Management and Budget (OMB).
  - Complete the program fiscal report form to claim funds. Advance payments, based on valid reported encumbrances, are authorized under the LSTA program. However, federal regulations require grant recipients to maintain procedures that minimize the time elapsing between the transfer of funds and their disbursement. When cash payments total approximately 80 percent of an approved budget, remaining payments will revert to a reimbursement basis.
- Complete six-month and one year evaluation forms for the project.
- Disseminate information about the project, crediting the use of LSTA funds to the DPI and IMLS.(For example, this could be as simple as stating, “This publication (product) was supported by (or "in part by") Library Services and Technology Act (LSTA) funds, awarded to the Wisconsin DPI by the Federal Institute of Museum and Library Services.”
- Follow appropriate workman’s compensation and unemployment compensation regulations. Project applicants may be responsible for paying workman’s compensation and unemployment compensation. No person shall, on the grounds of sex, race, religion, creed, age, national origin, ancestry, pregnancy, marital status or parental status, sexual orientation, or disability be excluded from participation in or be subjected to discrimination in any program or activity funded, in whole or in part, by federal funds.
- Equipment obtained with LSTA funds must continue to be used to carry out the purpose of the original proposal after funding is no longer available, or be disposed of in accordance with federal guidelines.
- If copyrightable material is developed in the course of an LSTA project, the U.S. [Institute of Museum and Library Services](#) and the DPI shall have a royalty free, nonexclusive, and irrevocable right to reproduce, publish, or

otherwise use, and to authorize others to use, the work for federal and state government purposes.

# Policy on Conflict of Interest

# 9

The following policy on conflict of interest is established in dealing with LSTA grant applications which are reviewed by the members of the Wisconsin LSTA Advisory Committee, grant reviewers and grant applicants.

The members of the LSTA Advisory Committee, grant reviewers, and subaward recipients represent interests and leadership in library development throughout the state. It is inevitable that from time to time proposals to be recommended for funding or policy decisions regarding the direction of library development in the state will involve a member of the advisory committee or a grant reviewer, either as the person who submits the grant or as one whose institution will benefit from a decision made by the committee. In order to respond to these circumstances, the following provisions are made.

A member of the LSTA Advisory Committee may not participate in the discussion of, make motions regarding, or vote on:

- Any grant application proposed by the individual's employer or by a board or other governing body of which the individual is a member
- The establishment of a noncompetitive grant category designating as the sole eligible recipient the individual's employer or a board or other governing body of which the individual is a member
- Any action in which the individual is or might be a direct financial beneficiary

An individual may not serve as a reviewer of:

- Any grant application proposed by the individual's employer or by a board or other governing body of which the individual is a member
- Any grant application if the individual would be a direct financial beneficiary

The determination whether or not a conflict of interest exists shall be made by the LSTA Advisory Committee or the administrator of the PDLT, as appropriate, or by duly adopted motion of the Committee



# LSTA Comment / Complaint Procedure

# 10

Comments and complaints or questions about the LSTA program received by the DLT will be forwarded to the LSTA program coordinator. The LSTA program coordinator will respond as is appropriate to the situation, either through a phone call, an email message, or a formal letter.

“Received” means comments made in person at workshops or conferences, phone calls or email messages to the LSTA Coordinator. The DLT will accept complaints or questions from any Wisconsin resident or member of the Wisconsin library community.

If the person asking the question or making the comment or complaint is not satisfied with the information provided by the LSTA program coordinator, the question or complaint will be sent to the Administrator of the DLT. The Administrator of the DLT will respond as is appropriate to the situation, either through a phone call, an email message or a formal letter.

The Administrator of the DLT is the person of last resort for questions or complaints about the state LSTA program

## EXAMPLE DRAFT ONLY



### Library Services and Technology Act (LSTA) 2016 Federal Grant Subaward Application

PII 2440-A

**Due Date:** September 4, 2015, 4:30 p.m.

#### Instructions

Complete all sections of this online grant application form and submit by due date above. All applications must be submitted online. The link to the online form will be [http://pld.dpi.wi.gov/pld\\_lsta](http://pld.dpi.wi.gov/pld_lsta). You may use the following pages to collect data and prepare for the online form. Narrative portions can be written in word processing software and pasted into the form; however, **special formatting (e.g. bullets or italics) will not transfer** to the application form.

You may want to print this page of instructions for reference while working on your grant application. If you need to make changes or print information, use the Previous Page and Next Page buttons at the bottom of pages to move through the application. (Do not use the browser's forward and back buttons.)

#### Save button

Use this button if you do not have time to complete the application and need to return to finish the application. When clicked, the **Save** button opens a page that provides your **customized link** and the message "Your responses to the LSTA 2016 grant application have been saved. Save the following link to finish the grant application at a later time." Right-click the link and **SAVE as a bookmark or favorite**. Previous answers will be saved. Do not bookmark the page.

#### Saving the Application Text

*A summary page **WILL NOT** be available to print because of changes to the application form. It is important to save a copy of the application text on a device or virtually for your records. **AFTER the due date**, a .pdf copy of your application will be returned to you.*

#### Signature:

Print a copy of the **LAST PAGE** of certifications. This is the **SIGNATURE** page at the end of the grant application. Please sign, and if possible, scan, and email the copy to Terrie Howe, (<mailto:Teresa.howe@dpi.wi.gov>). You can also mail the **SIGNATURE** page to Terrie postmarked no later than 4:30 p.m. on September 4, 2015.

Wisconsin Department of Public Instruction DPI  
ATTN: Terrie Howe, LSTA Program Coordinator  
Division for Libraries and Technology  
PO Box 7841  
Madison, WI 53707-7841

**General Information** *(Unless otherwise noted, all information is required.)*

Applicant Library or Library System \_\_\_\_\_

Library System \_\_\_\_\_

Mr. / Ms. Project Administrator \_\_\_\_\_

Project Administrator First Name \_\_\_\_\_

Project Administrator Last Name \_\_\_\_\_

E-Mail \_\_\_\_\_

Project Title \_\_\_\_\_

Street Address \_\_\_\_\_

PO Box (If applicable) \_\_\_\_\_

City

State

ZIP Code xxxxx or xxxxx-xxxx

Phone Area/No.

Extension (Optional)

Applicant County (One or more)

County Served by Project (One or more)

People Served by the Project (Estimated number of persons who will benefit from this project)

DUNS Number (Nine digits)

Federal Congressional District(s) Served by the Project (Choose all that apply)

1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6 ☐ 7 ☐ 8 ☐

**Non-competitive Grant Categories** *Select one*

- Delivery Services
- Combining Public Library Systems
- Digital Public Library of America (DPLA)
- Library System Technology
- Merging Automated Systems (ILS)

**Competitive Grant Categories** *Select one*

**Technology**

- |                                               |               |              |
|-----------------------------------------------|---------------|--------------|
| ○ Digital Creation Technology                 | Level 1 _____ | Level 2_____ |
| ○ Digitization of Library Historical Material | Level 1 _____ | Level 2_____ |

**Serving Special Populations**

- |                          |               |              |
|--------------------------|---------------|--------------|
| ○ Accessibility-Planning | Level 0 _____ |              |
| ○ Accessibility-Projects | Level 1 _____ | Level 2_____ |
| ○ Literacy- Planning     | Level 0 _____ |              |
| ○ Literacy- Project      | Level 1 _____ | Level 2_____ |
-



### **Primary Purposes** *(Federal requirement)*

Select **ONE** purpose appropriate for your grant project.

☐

#### **Utilization of technology to improve library services:**

*To ensure that libraries and regional library systems utilize technology to improve services and facilitate access to materials and information resources in Wisconsin libraries and from other sources to benefit all Wisconsin residents.*

☐

#### **Convenient access and quality library services for all residents:**

*To ensure convenient and efficient access to a wide range of quality library and information services for all Wisconsin residents, including those who have difficulty using a library because of limited literacy and language skills, educational or socioeconomic barriers, or disabilities.*

☐

#### **Support the equalization of access to information and lifelong learning resources:**

*To ensure that enhanced continuing education, training, and development opportunities are available to the current library workforce and library users.*

### **Project Intent** *(Federal requirement)*

Please select **ONE** intent that is most appropriate for your project.

- ☐ Improve the library workforce
- ☐ Improve the library's physical and technological infrastructure
- ☐ Improve library operations
- ☐ Improve users' ability to discover information.
- ☐ Improve users' ability to obtain information resources
- ☐ Improve users' formal education
- ☐ Improve users' general knowledge and skills
- ☐ Improve users' ability to apply information that furthers their personal, family, or household finances
- ☐ Improve users' ability to apply information that furthers their personal or family health & wellness
- ☐ Improve users' ability to apply information that furthers their parenting and family skills
- ☐ Improve users' ability to use resources and apply information for employment support
- ☐ Improve users' ability to use and apply business resources
- ☐ Improve users' ability to participate in their community
- ☐ Improve users' ability to participate in community conversations around topics of concern

## Evidence of need:

*Maximum Points for Competitive Grants: 10*

Provide justification for this project using documentation such as survey results, professional opinions, and community input. Include information about the community, library/system, and the target population(s) or beneficiaries to be served by the project using documentation such as demographic or library data.

Relevance to local/state planning documents: Describe how the project is relevant to library/system planning documents and appropriate state planning documents, including but not limited to: PLDT online resource Serving Special Populations ([http://pld.dpi.wi.gov/pld\\_ssp](http://pld.dpi.wi.gov/pld_ssp)) and PLDT 2010 Wisconsin Public Library Standards ([http://pld.dpi.wi.gov/pld\\_standard](http://pld.dpi.wi.gov/pld_standard)).

## Project Outcomes

*Maximum Points for Competitive Grants: 20*

There are three basic outcomes that your project should aim for based on your identified population and need: whether there has been knowledge gained and shared with others, whether people are using or reusing the new services provided through your project, and whether your users value what you are providing them.

Describe the intentional and measurable outcome(s) of this project. Clearly identify how change and impact will be measured at the beginning and the end of the project. (See resources at [http://pld.dpi.wi.gov/pld\\_lsta](http://pld.dpi.wi.gov/pld_lsta)). List any important findings that you expect to report from your project. Note: the evaluation strategies identified on the following “Activities” page should support your outcomes.

## Project Activities & Evaluation

*Maximum Points for Competitive Grants: 45*

Document a maximum of 20 project activities (including mode and format, if applicable) as well as an evaluation strategy for each activity. Project activities must address category specific grant requirements listed in the 2016 LSTA Information & Guidelines ([http://pld.dpi.wi.gov/pld\\_guide16.pdf](http://pld.dpi.wi.gov/pld_guide16.pdf)). Include information about where an activity took place (locale), who benefitted (beneficiary), and any partner(s) who contributed effort to the activity.

### What is an Activity?

- Actions and processes through which the intent of a project is accomplished
- Such actions should accounts for at least 10% of the total amount of resources committed to the project
- Further specified by *Mode* and *Format*.

The following are the activity types and definitions that must describe the form of activities planned for your project.

Activity Type	Definition
Instruction	Involves an interaction for knowledge or skill transfer.
Content	Involves the acquisition, development, or transfer of information.
Planning/Evaluation	Involves design, development, or assessment of operations, services, or resources.
Procurement	Involves purchasing facilities, equipment/supplies, hardware/software, or other materials (not content) that support general library infrastructure. It is the improvement of physical or technological infrastructure.

## What is a Mode?

How an activity is delivered, created, or experienced (such as program, presentation, acquisition, or preservation).

Activity	Notes on Mode
Instruction	How learning is delivered or experienced
Content	How information is made accessible.
Planning/Evaluation	When information is collected, analyzed, and/or disseminated.
Procurement	Not applicable.

Activity	Mode	Definition
Instruction	Program	Formal interaction and active user engagement (e.g., a class on computer skills)
	Presentation	Formal interaction and passive user engagement (e.g., an author's talk)
	Consultation	Informal interaction with an individual or group of individuals. These library staff or other professionals provide expert advice or reference services to individuals, units, or organizations.
Activity	Mode	Definition
Content	Acquisition	Selecting, ordering, and receiving materials for library or archival collections by purchase, exchange, or gift, which may include budgeting resources. May also include procuring software or hardware for the and negotiating with outside agencies (i.e. publishers, vendors) to obtain purposes of storing and/or retrieving information or enabling the act of experiencing, manipulating, or otherwise interacting with an information resource
	Creation	Design or production of an information tool or resource (e.g., digital objects, curricula, manuals). Includes digitization or the process of converting data to digital format for processing by a computer.
	Description	Apply standardized descriptive information and/or apply such information in a standardized format to items or groups of items in a collection for purposes of intellectual control, organization, and retrieval.
	Lending	Provision of a library's resources and collections through the circulation of materials (general circulation, reserves). May also refer to the physical or electronic delivery of documents from a library collection to the residence or place of business of a library user, upon request
	Preservation	Effort that extends the life or use life of a living or non-living collection, the individual items or entities included in a collection, or a structure, building, or site by reducing the likelihood or speed of deterioration.

Activity	Mode	Definition
Planning & Evaluation	Retrospective	Research effort that involves historical assessments of the condition of a project, program, service, operation, resource and/or user group.
	Prospective	Research effort that projects or forecasts a future condition of a project, program, service, operation, resource, and/or user group.
Activity	Mode	Definition
Procurement	Not applicable	Buying or leasing facilities; purchasing equipment/supplies, hardware/software, or other materials (not content) that support general library infrastructure as opposed to the storage and retrieval of content.

**What is a Format?** A characteristic of a mode.

“Instruction” Mode	Format	Definition
Program	In-person	Carried out face-to-face
Presentation	Virtual	Mediated by a computer, computer network, or mobile device
Consultation	In-person/Virtual	Delivered both in-person and via a computer, computer network, or mobile device. (e.g. live webinar)

“Content” Mode	Format	Definition
Acquisition Creation Description Lending Preservation	Physical	Medium in or on which information (data, sound, images, etc.) is stored (for example, paper, film, magnetic tape or disk, etc.). The medium may be encased in a protective housing made of another material (plastic, metal, etc.).
	Digital	Computer-mediated. The term includes commercial or non- commercial hardware, software, and/or data transfer connections and protocols, systems at any scale, and metadata.

**Who is a Partner?** A cooperating institution, designated through a formal agreement that contributes material resources (e.g. supplies, funds, staff) to the activity.

**Who is a Beneficiary?** A person who will use, visit, participate, or otherwise experience a project activity

**What are Evaluation Strategies?**

Evaluation strategies are used to assess project findings. Surveys, review of administrative data, interviews, focus groups, formal observations, are examples of evaluation strategies, among others.

## Project Budget and Budget Description

Maximum Points for Competitive Grants: 20

Complete the following chart and narrative budget on the text page. Check your math for accuracy and consistency. Include requested amounts for LSTA and local funds allocated in support of the project.

**There is no requirement that LSTA funds be matched with local funds.** However, both matching funds and LSTA funds for the project will be taken into consideration when evaluating the budget.

Local matching funds may include both existing and new budget items for direct expenditure on the project. For this purpose, existing or in-kind budget items may include space, equipment, salaries, fringe benefits, supplies, and other related costs. Federal funds received by public libraries must be deposited with the library's municipality per s. 43.58(2), Wis. Stats. Federal audit requirements must be met.

Review LSTA allowable costs here: [http://pld.dpi.wi.gov/pld\\_lstafaq](http://pld.dpi.wi.gov/pld_lstafaq)

**A. Salaries/Wages/Benefits** Includes all salaries, wages, and fringe benefits paid to staff directly contributing to the project.

MATCH- (e.g. ; In-kind, state, local, other-optional)	LSTA	Total

**B. Consultant Fees:** All expenses related to acquiring the services of a consultant for a specific activity within the project can be included in this category. Costs may include fees, travel, accommodation, and support services hired directly by the consultant.

MATCH- (e.g. ; In-kind, state, local, other-optional)	LSTA	Total

**C. Travel:** Travel costs must be related to the project activities and must be incurred by the staff working on the project. The costs include airfare, ground transportation, accommodation, meals, etc. For airfare, economy class must be used at all times.

MATCH- (e.g. ; In-kind, state, local, other-optional)	LSTA	Total

**D. Supplies/Materials:** Include costs for supplies and materials including computing devices (if the acquisition cost per unit is less than \$5,000) purchased specifically for the project.

MATCH- (e.g. ; In-kind, state, local, other-optional)	LSTA	Total

**E. Equipment** Means tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000. (2 CFR 200.33)

<b>MATCH-</b> (e.g. ; In-kind, state, local, other-optional)	<b>LSTA</b>	<b>Total</b>

**F. Services:** List the costs of project activities to be undertaken by a third-party contractor or vendor, including a formal partner.

<b>MATCH-</b> (e.g. ; In-kind, state, local, other-optional)	<b>LSTA</b>	<b>Total</b>

**G. Total:**

<b>MATCH-</b> (e.g. ; In-kind, state, local, other-optional)	<b>LSTA</b>	<b>Total</b>

**Budget Narrative:** *Please explain the funding amounts listed above*

**A. Salaries, wages, and benefits**

Narrative should include position titles (**but not names**) and number of FTEs in description. Provide sufficient detail to assure that LSTA funding is not supplanting local funding.

---

**B. Consultant Fees**

Narrative should include description of expertise of consultant along with actions/contributions to project. Include consultant name whenever possible.

---

**C. Travel**

Narrative should include number of travelers and description of types of travel expenditures.

---

**D. Supplies/Materials**

Narrative should include descriptions and quantities of supplies/materials acquired.

---

## **E. Equipment**

List any and describe tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the non-Federal entity for financial statement purposes, or \$5,000. (2 CFR 200.33)

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## **F. Services**

Narrative should include description of services provided. Databases should be described here and names of vendors included.

---

## **Indirect costs**

An indirect cost is an organization's incurred cost that cannot be readily isolated or identified with just one project or activity. These types of costs are often referred to as "overhead costs." Typical examples of indirect costs are general telephone service, postage, office supplies, office space expenses, and administrative or financial operations for an entire organization.

### **What are my options for calculating and including indirect costs in my project budget?**

**You can choose to:**

- Use a current indirect cost rate already negotiated with a federal agency;
- Use an indirect cost rate proposed to a federal agency but not yet approved;
- Use a rate not to exceed 10% of modified total direct costs if you have never had a federally negotiated indirect cost rate and you are not subject to other requirements (e.g., for States and Local Governments, and Indian Tribes); or
- Not include any indirect costs.

### **What is a federally negotiated indirect cost rate, and how do I use one?**

Federally negotiated indirect cost rates are negotiated agreements between federal agencies and non-profit organizations. If your organization already has an existing negotiated indirect cost rate in effect with another federal agency, you may use this rate to calculate total project costs, as long as you apply the rate in accordance with the terms of the negotiated agreement. (A copy of the negotiation agreement will be required as a condition of a grant award). We will only accept federally negotiated indirect cost rates that are current at the time awards are announced.

### **How do I use the 10% indirect cost rate?**

You may choose to charge a de minimis rate of 10% of modified total direct costs (MTDC) if you have never had a federally negotiated indirect cost rate. MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts up to the first \$25,000 of each subaward or subcontract. MTDC excludes equipment, capital expenditures, rental costs, tuition remission, scholarships and fellowships, participant support costs, and the portion of each subaward and subcontract in excess of \$25,000. If you choose to use this rate, you must be careful to exclude from the budget all indirect-cost-type items, such as general telephone service, postage, office supplies and office space expenses, and administrative or financial operations for the applicant's entire

organization. As long as you are an eligible entity and have never had a federally negotiated indirect cost rate, you may use this rate with no additional documentation required.

**Does your project include indirect costs**                      **Yes** \_\_\_\_\_ **No** \_\_\_\_\_

### **Distribution of Funds:**

This section may not apply to all libraries or library system projects. However, if your agency, as the applicant and fiscal agent, intends to distribute funds to be expended by other libraries, systems, or agencies, then this section must be completed.

1. The library/library system name and collaborating partner(s)
2. Amount of money to be distributed
3. For what will the funds be used by each library/library system?
4. How will each library/library system evaluate the usefulness of the project?
5. How will your agency monitor each participating library to ensure that they will use the funds as described in your project?

### **Abstract**

*Maximum Points for Competitive Grants: 5*

Provide a succinct paragraph of the project; its purpose and intended outcome based on the project title, target population(s), and identifiable need previously specified. If your project is funded, the abstract will be included on the LSTA website and the application will be made available upon request. (See resources at [http://pld.dpi.wi.gov/pld\\_lsta](http://pld.dpi.wi.gov/pld_lsta)).

Please see examples of abstracts from 2015 at:

<http://pld.dpi.wi.gov/sites/default/files/imce/pld/pdf/abstracts15.pdf>

1000 characters max.



## Certifications – Please Read.

*The last page requires a signature accepting the stated responsibility if a grant is awarded. Please return the last page only.*

§3187 Adoption of 2 CFR Part 200: Institute of Museum and Library Services (IMLS). The authorized representative, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. §7501 *et seq.*) and OMB Circular, "[Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#)." The authorized representative, on behalf of the applicant, certifies that the applicant will comply with the provisions of applicable OMB Circulars.

### DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549 and implemented at 31 C.F.R. Part 3185, the undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant, nor its principals: (a) are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency; (b) have within a three year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; (d) have within a three year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### DRUG FREE WORKPLACE REQUIREMENTS

As required by the Drug Free Workplace Act of 1988 and implemented at 31 C.F.R. Part 3186, the undersigned, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug free workplace by: (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition; (b) establishing an ongoing drug free awareness program to inform employees about:

- (1) the dangers of drug abuse in the workplace;
  - (2) the grantee's policy of maintaining a drug free workplace;
  - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
- (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will (1) abide by the terms of the statement; and (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;

(e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

(f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted: (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*); or (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health law or other appropriate agency;

(g) making a good faith effort to continue to maintain a drug free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f). The applicants either shall identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

## **LOBBYING**

As required by Section 1352, Title 31 of the United States Code, and implemented for persons entering into a grant or cooperative agreement over \$100,000, the applicant certifies to the best of his or her knowledge and belief that: (a) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement. (b) If any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. State Programs 3 Issued 2/9/2006. (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**FEDERAL DEBT STATUS** The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

**NON DISCRIMINATION** As required by the Civil Rights Act of 1964, the Rehabilitation Act of 1973, the Education Amendments of 1972, and the Age Discrimination in Employment Act of 1975, as implemented at 31 C.F.R., the undersigned, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations: (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity receiving federal financial assistance; (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §

701 *et seq.*), which prohibits discrimination on the basis of disability in federally assisted programs; (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681 83, 1685 86), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance; (d) The Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in federally assisted programs.

#### **INTERNET SAFETY (CIPA) PUBLIC ELEMENTARY AND SECONDARY SCHOOL LIBRARIES, and CONSORTIA WITH PUBLIC AND/OR PUBLIC SCHOOL LIBRARIES**

The library is either:

**A.** CIPA Compliant (The applicant library has complied with the requirements of Section 9134(f) (1) of the Library Services and Technology Act LSTA)

OR

**B.** CIPA requirements do not apply because LSTA funds are **NOT** being used to purchase computers to access the Internet, or to pay for direct costs associated with accessing the Internet.

#### **TRAFFICKING IN PERSONS**

The SLAA must comply with Federal law pertaining to trafficking in persons. Any grant, contract, or cooperative agreement entered into by a Federal agency and a private entity shall include a condition that authorizes the Federal agency (IMLS) to terminate the grant, contract, or cooperative agreement, if the grantee, subgrantee, contractor, or subcontractor engages in trafficking in persons, procures a commercial sex act, or uses forced labor. 2 C.F.R. part 175 requires IMLS to include the following award term:

a. Provisions applicable to a recipient that is a private entity.

1. You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not -

- i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
- ii. Procure a commercial sex act during the period of time that the award is in effect; or
- iii. Use forced labor in the performance of the award or subawards under the award.

2. We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity -

i. Is determined to have violated a prohibition in paragraph a.1 of this award term; or

ii. Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a.1 of this award term through conduct that is either -

A. Associated with performance under this award; or

B. Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 C.F.R. part 180, "OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement)," as implemented by our agency at 2 C.F.R. part 3185.

b. *Provision applicable to a recipient other than a private entity.* We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity -

1. Is determined to have violated an applicable prohibition in paragraph a.1 of this award term; or
2. Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a.1 of this award term through conduct that is either -

i. Associated with performance under this award; or

ii. Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 C.F.R. part 180, "OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement)," as implemented by our agency at 2 C.F.R. part 3185.

c. Provisions applicable to any recipient.

1. You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a.1 of this award term.

2. Our right to terminate unilaterally that is described in paragraph a.2 or b of this section:

i. Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. § 7104(g)), and

ii. Is in addition to all other remedies for noncompliance that are available to us under this award.

3. You must include the requirements of paragraph a.1 of this award term in any subaward you make to a private entity.

d. *Definitions.* For purposes of this award term:

1. "Employee" means either:

i. An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or

ii. Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

2. "Forced labor" means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

3. "Private entity":

i. Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 C.F.R. part 175.25.

ii. Includes:

A. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 C.F.R part 175.25(b).

B. A for-profit organization.

4. "Severe forms of trafficking in persons," "commercial sex act," and "coercion" have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. § 7102).

The new [\*Electronic Code of Federal Regulations\*](#) is updated frequently and is located here.

IMLS grantees and subgrantees are required to comply with Title IX, which protects against discrimination based on sex in education programs that receive Federal financial assistance. Recent cases, both in employment discrimination law and under state constitutional law, afford similar protections for transgender individuals.

## SIGNATURE

**I, THE UNDERSIGNED, CERTIFY** that the 2016 project(s) will be the basis for the operation and administration for which LSTA funds are requested. We will provide expenditure and other reports and will comply with such fiscal provisions as the DLT requires. We will comply with the statutes and regulations cited above as required by the Institute of Museum and Library Services (IMLS).

Applicant Library or System			
Project Title			
Project Administrator			
Federal Funds Requested			
<b>Name of Principal Officer of Applicant Agency</b>	<b>Title of Principal Officer</b>	<b>Signature of Principal Officer</b> >	<b>Date Signed</b> <i>Mo./Day/Yr.</i>

### Mailing Instructions

Print this page, sign, SCAN and attach no later than **September 4, 2015** by email to (Teresa.Howe@dpi.wi.gov) OR

Print this page, sign, and return by mail postmarked by September 4, 2015. Send signed page to:  
Terrie Howe, LSTA Program Coordinator  
Wisconsin Department of Public Instruction DPI  
Division for Libraries and Technology  
PO Box 7841  
Madison, WI 53707-7841